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W. M. Reddy  
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EXPRESS MAIL CERTIFICATE

Date 5/3/01 Label No. EL853601366-US  
I hereby certify that, on the date indicated above, this paper or fee was deposited with the U.S. Postal Service & that it was addressed for delivery to the Assistant Commissioner for Patents, Washington, DC 20231 by "Express Mail Post Office to Addressee" service.

D. Davis  
Name (Print)

D. Davis  
Signature

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Technology Center 2100

Customer No.:



07278

PATENT TRADEMARK OFFICE

Docket No.: 6727/OJ005US0

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE.

In re application of:

Julian SATRAN et al.

Serial No.: 09/808,290

Filed: March 14, 2001

For: **NACK SUPPRESSION FOR MULTICAST PROTOCOLS IN MOSTLY ONE-WAY NETWORKS**

May 3, 2001

INFORMATION DISCLOSURE STATEMENT

Hon. Commissioner of  
Patents and Trademarks  
Washington, DC 20231

Sir:

This Information Disclosure Statement is submitted in accordance with 37 C.F.R. 1.97, 1.98, and it is requested that the information set forth in this statement and in the listed documents be considered during the pendency of the

above-identified application, and any other application relying on the filing date of the above-identified application or cross-referencing it as a related application.

1. This IDS should be considered, in accordance with 37 C.F.R. 1.97, as it is filed:

(Check one of the boxes A-D)

☒ A. Within three months of the filing date of the above-identified national application or within three months of the entry into the national stage of the above-identified international application.

☐ B. before the mailing date of a first office action on the merits, or a first office action after filing a request for continued examination.

☐ C. after (A) and (B) above, but before the mailing date of a final rejection, a notice of allowance, or any other action that closes prosecution, and Applicants have made the necessary statement in box "i" below or paid the necessary fee in box "ii" below.

(check one of the boxes "i" and "ii" below:)

☐ i. Counsel states that, upon information and belief, each item of information listed herein was either (a) cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or (b) was not cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of undersigned after making reasonable inquiry, was not known to any individual

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designated in 1.56(c) more than three months prior to the filing of this IDS.

☐ ii.11. A check for the fee set forth in 1. 17(p), presently believed to be \$180, is enclosed.

☐ D. after (A), (B) and (C) above, but before payment of the issue fee: Counsel states that, upon information and belief, each item of information listed herein was either (i) cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the IDS; or (ii) was not cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was not known to any individual designated in 1.56(c) more than three months prior to the filing of this IDS.

☐ i. A check for the fee set forth in 1.17 (p), presently believed to be \$180, is enclosed.

2. In accordance with 37 C.F.R. 1.98, this IDS includes a list (e.g., form PTO-1449) of all patents, publications, or other information submitted for consideration by the office, either incorporated into this IDS or as an attachment hereto. A copy of each document listed is attached, except as explained below.

(check boxes A and/or B and fill in blanks, if appropriate.)

☐ A. Document(s) \_\_\_\_\_ is (are) deemed substantially cumulative to document(s) \_\_\_\_\_, and, in accordance with 1.98(c), only a copy of each of the latter documents is enclosed.

☐ B. Certain documents were previously cited by or submitted to the Office in the following prior applications, which are relied upon under 35 U.S.C.

120:

[SERIAL NO. & FILING DATE].

Applicant Identifies these documents by attaching hereto copies of the forms PTO- 892 and PTO- 1449 from the files of the prior application(s) or a fresh PTO- 1449 listing these documents, and request that they be considered and made of record in accordance with 1.98(d). Per 37 CFR 1.98(d), copies of these documents need not be filed in this application.

☐ 3. Document(s) \_\_\_\_\_ are not in the English language. In accordance with 1.98(c), Applicant states:

- ☐ An English translation of each document (or of the pertinent portions thereof), or a copy of each corresponding English-language patent or application is enclosed.
- ☐ A concise explanation of the relevance of document(s) \_\_\_\_\_ is found in the attached search report (see MPEP § 609 A(3)x).
- ☐ A concise explanation of the relevance of document(s) \_\_\_\_\_ is set forth as follows: [Insert concise explanation of relevance]
- ☐ A concise explanation of the relevance of document(s) \_\_\_\_\_

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can be found on page(s) \_\_\_\_\_ of the specification.

☐ A concise explanation of document(s) \_\_\_\_\_ can be found on the attached sheet.

☐ 4. No explanation of relevance is necessary for documents in the English language (see MPEP § 609 A(3)).

☐ 5. Other information being provided for the examiner's consideration follows:

6. In accordance with 37 C.F.R. 1.97(g) and (h), the filing of this IDS should not be construed as a representation that a search has been made or that information cited is, or is considered to be, material to patentability as defined in §1.56 (b), or that any cited document listed or attached is (or constitutes) prior art. Unless other-wise indicated, the date of publication indicated for an item is taken from the face of the item and Applicant reserves the right to prove that the date of publication is in fact different.

#### CROSS REFERENCE UNDER 37 C.F.R. §1.78 TO RELATED APPLICATIONS

Pursuant to 37 C.F.R. § 1.79, Applicant notes that the above-identified patent application may be related to the following U.S. Patent Applications:

(1) U.S. Patent Application Serial No. 09/564,387, entitled TECHNIQUE OF MULTIDOCUMENT INTERNET MULTICASTING, filed May 3, 2000.

(2) U.S. Patent Application Serial No. 09/770,558, entitled DISTRIBUTED MULTICAST CACHING TECHNIQUE, filed January 26, 2001.

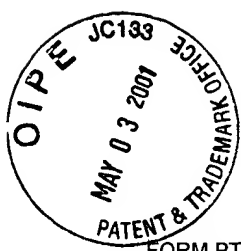
Early and favorable consideration is earnestly solicited.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "S. Peter Ludwig", written over a horizontal line.

S. Peter Ludwig  
Registration No. 25,351  
Attorney for Applicant(s)

DARBY & DARBY P.C.  
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(212) 527-7700



FORM PTO-1449

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SHEET 1 OF 2  
(REV. 7-98)RECEIVED  
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Technology Center 2100**LIST OF REFERENCES CITED BY APPLICANT**

(Use Several Sheets if Necessary)

DOCKET NO.: 6727/OJ005USO  
APPLICANT: Julian SATRANSERIAL NO: 09/808,290  
FILING DATE: March 14, 2001  
CONFIRMATION NO:**U.S. PATENT DOCUMENTS**

<u>*EXAMINER INITIALS</u>	<u>DOCUMENT NUMBER</u>	<u>DATE</u>	<u>NAME</u>	<u>CLASS</u>	<u>SUBCLASS</u>	<u>FILING DATE</u>
	1. 5,727,002	Mar. 1998	Miller et al.	371	32	

**FOREIGN PATENT DOCUMENTS**

<u>*EXAMINER INITIALS</u>	<u>DOCUMENT NUMBER</u>	<u>DATE</u>	<u>COUNTRY</u>	<u>CLASS</u>	<u>SUBCLASS</u>	<u>TRANSLATION YES NO</u>
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**OTHER REFERENCES****(INCLUDING AUTHOR, TITLE DATE, PERTINENT PAGES, ETC.)**\*EXAMINER  
INITIALS

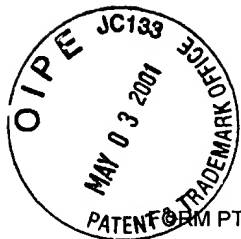
2. Sally Floyd et al., "A Reliable Multicast Framework for Light-Weight Sessions and Application Level Framing", SIGCOMM '95, Cambridge, MA, Sep. 1, 1995, 23 pages.

3. Shiroshita, Teruji et al., Reliable Multicast Transport Protocol (RMTP), Draft Document for 37<sup>th</sup> IETF, Last Updated: February 7, 1997, 7 pages.

4. K. Miller et al., Starburst Multicast File Transfer Protocol (MFTP) Specification, Internet Draft, April 1998, 55 pages. (work in progress).

5. D. Wessels, "Squid Frequently Asked Questions" and "About Squid, This FAQ, and Other Squid Information: ([http://www.squid-cache.org/DOC/FAQ/FAQand\(FAQ-1\)\).html](http://www.squid-cache.org/DOC/FAQ/FAQand(FAQ-1)).html)), 17 pages.

6. M. Baentsch et al., "World Wide Web Caching: The Application-Level View of the Internet", IEEE Communications Magazine, June 1997, pp. 170-178.



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SHEET 2 OF 2  
(REV. 7-80)

U.S. DEPARTMENT OF COMMERCE PATENT & TRADEMARK OFFICE

**LIST OF REFERENCES CITED BY APPLICANT**

(Use Several Sheets if Necessary)

DOCKET NO.: 6727/OJ005US0  
APPLICANT: Julian SATRAN

SERIAL NO: 09/808,290  
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CONFIRMATION NO:

\*EXAMINER  
INITIALS

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**OTHER REFERENCES**

**(INCLUDING AUTHOR, TITLE DATE, PERTINENT PAGES, ETC.)**

7. N. Smith, "The UK National Web Cache - The State of the Art:", Computer Networks and ISDN Systems 28, 1996; pp. 1407-1414.
8. R. Fielding et al., RFC 2068: Hypertext Transfer Protocol, HTTP/1.1, January 1997, 162 pages.
9. D. Crome, Internetworking with TCP/IP - Volume 1: Principles, Protocols, and Architecture, Chapter 17, 3<sup>rd</sup> Edition, Prentice Hall, N.J., 1999, pp. 291-298.
10. U.S. Patent Application Serial No. 09/138,994, entitled MULTICAST DATA TRANSMISSION OVER A ONE-WAY BROADBAND CHANNEL, filed August 24, 1998.

EXAMINER: \_\_\_\_\_

DATE CONSIDERED: \_\_\_\_\_

\*EXAMINER:

Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.